
Utah State Archives and Records Service



Records Management Training

Utah State Archives and Records Service

Utah State Archives:

- Assists state government agencies in the efficient management of their records.
- Preserves records of enduring value.
- Provides quality access to public information.



Utah State Archives and Records Service

Records Analysis Section:

- Scheduling records,
- Training, and
- Records consulting services.



Utah State Archives and Records Service

State Records Center:

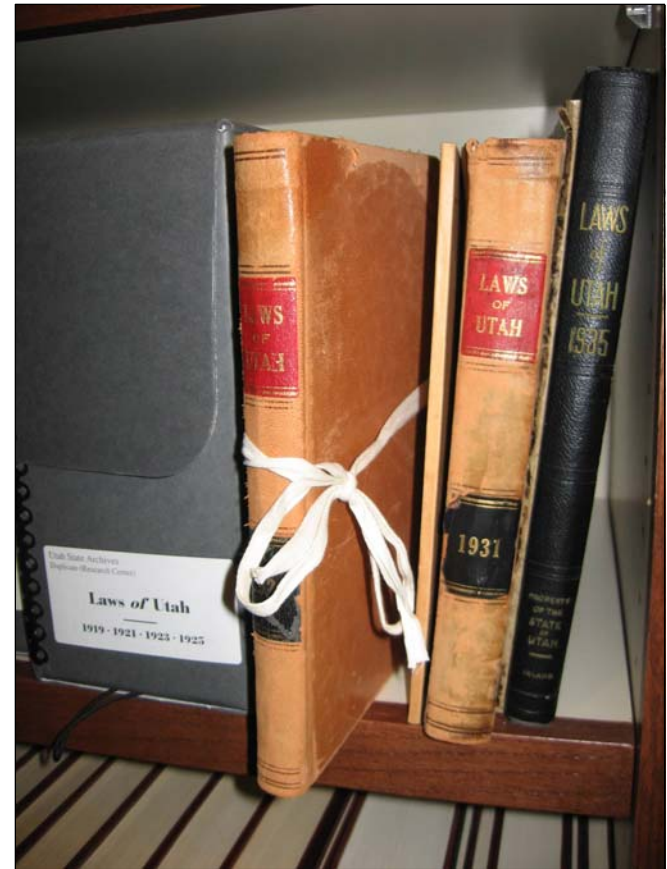
- Storage of semi-active records, and
- Destruction of records that have met their retention.



Utah State Archives and Records Service

Records Processing:

- Responsible for the arrangement and description of historical records.



Utah State Archives and Records Service

Utah History Research Center:

- Provides public access to historical government records.

Hours:

Monday - Thursday

7:00 a.m. - 6:00 p.m.



Government Records Access and Management Act (GRAMA)

- Balances the public's right to public information with individuals' rights to privacy
- Establishes records management practices

UCA 63G-2-101 through 901

Agency Responsibilities

- Establish and maintain an efficient records management program.
- Appoint records officers to work with State Archives.
- Assure that records officers receive training.
- Submit proposed record schedules to State Archives.
- Report designations and classifications.

Records are state property

- Government records are the property of the State.
- Records are to be retained according to an approved retention schedule.
- It is unlawful to destroy or damage records in contravention to an approved retention schedule.

Definitions

Records management

The systematic control of all records from their creation or receipt, through their use, organization, distribution, retrieval, and their ultimate destruction or preservation.

Record

“ a book, letter, document, paper, map, plan, photograph, film, card, tape recording, electronic data, or other documentary material regardless of physical form or characteristics: that is prepared, owned, received, or retained by a governmental entity or political subdivision.”

UCA 63G-2-103(22)(a)

Items not considered records

- Junk mail or commercial publications,
- Temporary drafts created for personal use
- Notes or communications received in a personal capacity
- Proprietary software
- Copyright materials.

(unless copyright owned by agency)

UCA 63G-2-103(22)(b)

Record copy

The officially designated copy of a record that will be maintained according to an approved retention schedule. The record copy may be maintained in any format.

Record series

“...a group of records that may be treated as a unit for purposes of designation, description, management, or disposition.”

Series number

... a unique, identifying number assigned to a records series.

Retention

The period of time a record is in the agency's custody. Records may be maintained in an agency office, agency storage center, or the State Records Center.

Disposition

After retention is met, the record will either be transferred to State Archives' custody or be destroyed.

Agency specific retention schedule

A descriptive listing of an agency's record series including its retention period

General retention schedule

A listing of retention schedules for items that are common to multiple agencies.

Designation

Indicating probable classification based on a representative sample of the records.

Classification

Determining whether a record series or information within a records series is public, private, controlled, protected or exempt from disclosure based on another statute.

UCA 63G-2-103(3)(7)

State Records Committee

A seven-member committee appointed by the governor to approve retention schedules and hear appeals dealing with records access.

UCA 63G-2-501

Inventory Process

- Review and make a list of all the records your office creates.
- Compare your agency list with existing agency series listing and the State General Retention Schedule.

(www.archives.utah.gov)

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- If you have records that are not on either list, you will need to create a new series for each unscheduled record group.
 - Identify any electronic records you maintain. Are they part of an approved record series? If not, they will also need to be scheduled.
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Schedule Your Records

- Create a list of records that have not been scheduled.
- Submit a *Record Series Submission Form* for each series you would like to schedule.

(<http://archives.utah.gov/main/>)

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- Work with your records analyst to finalize series retention schedules.
 - Obtain approval from your chief administrative officer.
 - Your analyst will submit your new series to the State Records Committee for approval if it cannot be linked to a *State General Schedule* item.
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Storing records in office

- Organize records by series.
- Place manila folders inside hanging folders in filing cabinets.
- Periodically review records.
 - Check for records that have met retention.
 - Consider whether retention meets agency needs.
- Contact records analyst to make updates or changes.

Secure records

- Computer passwords and security are important.
 - Keep restricted records securely locked.
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Provide a good home for records

- Keep boxes on shelves or pallets.
 - Do not store them directly on the floor or near water or sewer pipes.
 - Keeping records contained in boxes, cabinets, or drawers will help protect them from fire or water damage.
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Storing agency records at the State Records Center:

Semi-active records

- Records that are handled less than once-a-month per file drawer, can be removed from active file space and stored separately.

Inactive records

- Records that you need to have in your custody but seldom, if ever, need access to.
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Transferring records to State Records Center

- All records **must** have an assigned series number before they can be transferred to State Records Center.
 - Fill out *Records Transfer Sheet* from the Web. (www.archives.utah.gov)
 - Records Center staff will return a box location report to you. **KEEP IT FOR YOUR RECORDS.**
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Packing boxes

- Must use Records Center boxes only:
 - Call 1-888-263-3423)
 - Office Depot item number 285052 –
 - Limit box contents to one record series.
 - Pack records in the same arrangement as maintained in office.
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- Don't over-pack boxes.
- Remove Pendaflex folders.
- Create a container list for each box. Keep a copy in your office, and place a copy in the box.



Labeling boxes

Label boxes with a large black permanent marker. Include the following information:

- agency name
- record series number
- series title
- agency-assigned box number, for example, 08-001, 08-002, etc.

DEPARTMENT OF ADMINISTRATIVE SERVICES UTAH STATE ARCHIVES & RECORDS SERVICE	
AGENCY NAME (DEPT., DIV., & BUREAU):	
RECORD SERIES NUMBER:	AGENCY-ASSIGNED BOX NUMBER:
BAR CODE LABEL (ARCHIVES USE ONLY)	

Transferring boxes

- Agencies responsible for delivery.
 - State mail will deliver boxes (up to six without prearrangement).
 - Contact the State Records Center to schedule a delivery date.
 - Keep a box information log.
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Records Center

Contact Information

Telephone: (801) 975-4016

FAX: (801) 975-0336

E-MAIL: recordscenter@utah.gov

Keep a box information log

Include:

- Series number
 - Agency box number
 - Detailed listing of box contents
 - Disposition date
 - State Records Center location number
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Requesting records

- Use retrieval request form on Archives web site: www.archives.utah.gov
 - Required information:
 - Agency contact information
 - Series number
 - Agency box number
 - Records center number
 - File names or numbers
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Records Center disposal

- The State Records Center provides destruction for records stored there as they meet their retention.
 - No records will be destroyed without agency authorization.
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Records disposal

- Dispose of records according to an approved retention schedule.
 - Keep a destruction log for all records destroyed including those that are destroyed in-office.
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Appropriate disposal

Burn or shred

- Wasatch Energy
801-614-5600
www.wasatchenergy.org
 - Certified Shred
801-972-4748
www.certifiedshred.com
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Records Disposal

RECORDS DESTRUCTION LOG

(Sample form)

AGENCY _____

[illegible]

Disposition

- After retention is met, records will either be transferred to State Archives or destroyed.
 - More than 90% are destroyed.
 - Fewer than 10% will be retained permanently.

Records management point

UCA 63A-12-105(2)(c)

- A political subdivision which no longer wishes to maintain custody of a record which must be retained under the retention schedule shall transfer it to the state archives for safekeeping and management.

Access at Utah History Research Center

- State Archives maintains custody so access is same for agency and the public.
 - Records can be viewed and copied on-site only.
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